

FORM PTO-1390 (REV. 10-2003)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER LUM-PHNL020135	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	
				10/505,247	
INTERNATIONAL APPLICATION NO. PCT/IB03/00582		INTERNATIONAL FILING DATE 14 February 2003		PRIORITY DATE CLAIMED 22 February 2002	
TITLE OF INVENTION COMPACT LIGHTING SYSTEM AND DISPLAY DEVICE					
APPLICANT(S) FOR DO/EO/US Matthijs Hendrik Keuper					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<p>1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>Items 11 to 20 below concern document(s) or information included:</p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: A Power of Attorney and Correspondence Addresss Indication Form; Response to Notification of Missing requirements Under 35 U.S.C. 371; and Copy of Notification of Missing Requirements Under 35 U.S.C. 371.</p>					

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)
10/505,247

INTERNATIONAL APPLICATION NO.
PCT/IB03/00582

ATTORNEY'S DOCKET NUMBER
LUM-PHNL020135

21. ☐ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. **\$1080.00**

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO **\$920.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$770.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$730.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 0.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than 30 months
from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	19 - 20 =	0	x \$18.00	\$ 0.00
Independent claims	2 - 3 =	0	x \$86.00	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$290.00	\$

TOTAL OF ABOVE CALCULATIONS = \$ 0.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$

SUBTOTAL =

\$ 0.00

Processing fee of **\$130.00** for furnishing the English translation later than 30 months
from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ 0.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property +

\$

TOTAL FEES ENCLOSED =

\$ 0.00

Amount to be
refunded:

\$

charged:

\$

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 502226 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 502226. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Rachel V. Leiterman
Patent Law Group LLP
2635 North First St., Suite 223
San Jose, CA 95134


SIGNATURE

Rachel V. Leiterman
NAME

46,868
REGISTRATION NUMBER

Express Mail No. EV 458861194 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Matthijs Hendrik Keuper
Assignee: Lumileds Lighting U.S., LLC
Title: COMPACT LIGHTING SYSTEM AND DISPLAY DEVICE
Serial No.: 10/505,247 Filing Date: August 20, 2004
Examiner: Not yet assigned Group Art Unit: Not yet assigned
Docket No.: LUM-PHNL020135

San Jose, California
March 3, 2005

Mail Stop PCT
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35
U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE
(DO/EO/US)

Dear Sir:

In response to the "Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)" mailed by the United States Patent and Trademark Office on January 24, 2005, the following documents are enclosed to complete the filing of the above-identified patent application:

1. A declaration signed by the inventor in compliance with
 37 CFR 1.497(a) and (b);
2. A Power of Attorney and Correspondence Address Indication Form;
3. A copy of the Notification of Missing Requirements Under 35 U.S.C. 371
 in the United States Designate/Elected Office (DO/EO/US).

Applicant believes that no fee is due at this time. The surcharge of \$130.00 was paid at the time the application was filed.

Patent Law Group
LLP
2635 North First St.
Suite 223
San Jose, CA 95134
(408) 382-0480
FAX (408) 382-0481

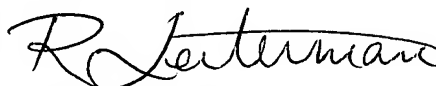
The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayments to Deposit Account No. 502226.

It is hereby respectfully submitted that the enclosed documents complete the filing of the above patent application and justify the filing date of August 20, 2004. Please telephone the undersigned at (408) 382-0480 extension 204, if there are any questions.

EXPRESS MAIL LABEL NO:

EV 458861194 US

Respectfully submitted,



Rachel V. Leiterman
Attorney for Applicant(s)
Reg. No. 46,868

Patent Law Group
LLP
2635 North First St.
Suite 223
San Jose, CA 95134
(408) 382-0480
FAX (408) 382-0481



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/505,247	Matthijs Hendrik Keuper	LUM-PHNL020135

INTERNATIONAL APPLICATION NO.
PCT/IB03/00582

I.A. FILING DATE	PRIORITY DATE
02/14/2003	02/22/2002

Rachel V. Leiterman
 Patent Law Group
 2635 North First St., Suite 223
 San Jose, CA 95134

CONFIRMATION NO. 7423
371 FORMALITIES LETTER



OC000000015010493

Date Mailed: 01/24/2005

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 08/20/2004
- Copy of the International Search Report filed on 08/20/2004
- Preliminary Amendments filed on 08/20/2004
- Information Disclosure Statements filed on 08/20/2004
- Oath or Declaration filed on 08/20/2004
- U.S. Basic National Fees filed on 08/20/2004
- Priority Documents filed on 08/20/2004

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice **MUST** be returned with the response.

KAREN M WILLIAMS

Telephone: (703) 305-3688

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/505,247	PCT/IB03/00582	LUM-PHNL020135

FORM PCT/DO/EO/905 (371 Formalities Notice)